



**U.S. Department of the Interior**  
**"To-Be" Trust Business Model**  
**Process Template**

**Title: Process Pre-Contract Receipt Encoding**

*Identify the process in the "Verb Noun" format. (Ex: Maintain Ownership)*

**Process Number**  
**UM.2.1.2**

**1. Process Definition** *Provide an overview of the process and define its starting and ending points*

<b>1.1 Starts With</b>	Qualified application of land use contract that requires pre-payment of bid deposit or advance 1 <sup>st</sup> year payment to perfect land use contract.
<b>1.2 Process Overview</b>	<p>Pre-contract receipt encoding of information is performed for collections received in the form of bid deposits or administrative fees associated with the acceptance of an application for a land use contract. Pre-collections of rental may be in some case required to perfect the land use contract. All pre-lease collections are sent to the lockbox.</p> <p>This process is performed simultaneously with the administration of the application process.</p>
<b>1.3 Stops With</b>	Encoding of receipt information is completed and provided to the lessee/operator for remittance of payment to the designated lock box.

**2. Trust Business Objectives** *Identify the Comprehensive Trust Model strategic goals and business objectives to which this process contributes.*

<b>Goal/Objective</b>
<b>GOAL 4: LAND AND NATURAL RESOURCES MANAGEMENT THAT MAXIMIZES RETURN WHILE MEETING BENEFICIARY DESIRES</b>
<b>OBJECTIVE 4.1: LAND AND NATURAL RESOURCE ASSET PLANS AND STEWARDSHIP STRATEGIES</b> Develop land and natural resource asset plans and stewardship strategies.
<b>OBJECTIVE 4.2: PRESERVATION AND PROTECTION OF LAND AND NATURAL RESOURCE ASSETS</b> Preserve and protect the long-term viability of land and natural resource assets consistent with fiduciary duties and with the beneficiaries' intended use of the as-sets.
<b>OBJECTIVE 4.3: LAND AND NATURAL RESOURCE ASSET BUSINESS MANAGEMENT</b> Manage land and natural resource assets effectively and proactively to obtain fair market value for beneficiaries and to incorporate beneficiary requirements.
<b>OBJECTIVE 4.4: APPRAISALS</b> Obtain appraisal information, as needed, on trust and restricted lands for tribal and individual Indian owners, using methods and techniques that meet professional standards.



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**3. How should Beneficiaries be involved in this process?**

Beneficiary Involvement
None

**4. Organizations, Offices and Roles.** Identify the DOI organizations and related roles that should be involved in performing the process.

**4.1 DOI Organizations.** Identify the DOI organizations, offices and individual roles that contribute to this process.

DOI organizations include the Office of the Secretary, BIA, OST, BLM, MMS, OHA, OSM among others.

Offices include Central Offices, Regional Offices, Agency(Field) Offices, etc.

All individual roles that contribute, in a significant manner, should be identified.

Organization	Office	Role	Contribution
BIA/OST	Agency		Collect and record initial remittance.  Complete remittance coupon and submit coupon and money to lockbox.  May manage and track non-trust funds.  Prepare receipt encoding information.
Consortium	Program Office		Prepare receipt encoding information.  Collect and record initial remittance.  Complete remittance coupon and submit coupon and money to lockbox.
Compacted or Contracted Tribe	Program Office		Perform all DOI functions except those considered inherently federal.



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**4.2 External Organizations.** *Identify the non-DOI organizations that support the execution of or contribute to this process.*

External Organization	Contribution
None	

**5. Event(s)** *Identify the events or conditions that start the process. Describe each event and indicate the frequency (daily, monthly, quarterly, etc.) in which each event is expected to occur. An event may be an external interaction (a beneficiary submits an application), the expiration of a period of time (a lease is due to expire in 90 days), or the realization of some pre-defined threshold (an IIM account reaches the automatic disbursement threshold).*

Event	Description	Estimated Frequency
Application for land use contracts has been received	Administrative fees associated with the acceptance of an application for land use contract	
Bid Deposits Notifications	Notifications of bid deposits received as a result of a competitive advertisement are verified through visibility to the escrow financial system for non-trust funds.	

**6. Inputs and Outputs.** *Identify and describe all inputs and outputs related to this process. Inputs are information or materials used during the execution of the process; outputs are materials or information produced by the process.*

**6.1 Inputs**

Input	Description
Administrative Fee Schedule	Set fee associated with the type of application to be process
Permit Fee Schedule	Set permit fee schedule
Bid Deposit	Bid deposits received with initial bid response



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## 6.2 Outputs

Output	Description
Pre contract receipt encoding information.	Information for pre-land use contract processing of administrative fees, permit fees and bid deposits will be forwarded onto Financial Operations through the Integrated Data. Financial Operations will setup lockbox and track pre-contract funds in an escrow system.

## 7. Fiduciary and Legal Obligations and Controls

### 7.1 Obligations

Identify and describe the legal and fiduciary obligations that impact this process. For each obligation, indicate the document or commitment that defines the obligation and the citation (paragraph or section) within the document that pertains to this process.

Obligation	Source	Business Impact
See attached Schedule 1		

### 7.2 Controls

Identify and describe any controls (enforcement mechanisms) that may be used to ensure that the process adheres to obligations and internal process requirements. Controls may be reviews, audits, segregated duties, etc. Indicate the reason that each control should be introduced (name the obligation that a control is intended to enforce; indicate any controls required to ensure consistency or reliability).

Control	Reason	Description
IAMs	Internal Control	Detailed instruction of interagency procedures.
Handbooks and Manuals	Internal Control	Program specific receipt encoding information and collection process procedures.

## 8. Mechanisms (Systems of Record)

Identify the mechanisms, or systems, that are needed to support the process (ex: Ownership, Leasing, Workflow Management, Office Filing System, etc.). Indicate the information and activities, relevant to this process, that each system supports.

System Name	Support
Realty system	System should allow for automated generation of the remittances electronically upon acceptance of the type of application, permit or bid response.
Financial system	System should allow for integrated data transfer of receipt encoding information to Financial Operations.



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**9. Inter-Process Relationships** *Identify other trust processes that are related to this process (either predecessors or successors). If applicable, indicate the condition under which the processes are related.*

**9.1 Predecessors.** *Predecessors are processes that either produce information required by this process or that result in the need to execute this process.*

Process No.	Name	Condition of Relationship
UM.2.1.1	Advertise Land use Availability	Advertises Land availability to promote the receipt of applications/proposals for the planned Land use.

**9.2 Successors.** *Successors are processes that either use information produced by this process or that must be executed as a result of performing this process.*

Process No.	Name	Condition of Relationship
FO. 1.2b	Receive and Post Non-Trust Funds	Remittance coupons for cash bonds, bid deposits and 1st year rental to perfect land use contracts are received.
FO.3.1	Create Funds Payable	Monies will be disbursed against contract prepayments.
UM.2.1.3	Process Land Use Application	Upon receipt of a bid response the associated bid deposit will be processed.

**10. Comments** *Summarize any discussion, problems, issues or recommendations that should be considered when reviewing process performance. Category Values (Note, Best Practice, Decision, Problem, Issue, Recommendation)*

Category	Comment
	None